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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/026,366	12/18/2001	Muljadi Sulistio	CMRC 1008-1	8061

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EXAMINER

STORK, KYLE R

ART UNIT PAPER NUMBER

2178

DATE MAILED: 12/03/2004

Please find below and/or attached an Office communication concerning this application or proceeding.

<b>Office Action Summary</b>	Application No. 10/026,366	Applicant(s) SULISTIO ET AL.	
	Examiner Kyle R Stork	Art Unit 2178	

**-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --**

**Period for Reply**

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

**Status**

- 1) ☒ Responsive to communication(s) filed on 18 December 2001.
- 2a) ☐ This action is **FINAL**.                      2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

**Disposition of Claims**

- 4) ☒ Claim(s) 1-21 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-21 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

**Application Papers**

- 9) ☒ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

**Priority under 35 U.S.C. § 119**

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All    b) ☐ Some \* c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
  2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
  3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

**Attachment(s)**

- |   |   |
|---|---|
| 1) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892)   | 4) <input type="checkbox"/> Interview Summary (PTO-413)<br>Paper No(s)/Mail Date. _____ |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948)  | 5) <input type="checkbox"/> Notice of Informal Patent Application (PTO-152)             |
| 3) <input checked="" type="checkbox"/> Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)<br>Paper No(s)/Mail Date <u>18.12.01</u> | 6) <input type="checkbox"/> Other: _____  |

### **DETAILED ACTION**

1. This office action is in response to the application filed 18 December 2001, and the information disclosure statements filed on the same date.
2. Claims 1-21 are pending. Claims 1 and 12 are independent claims.

### ***Information Disclosure Statement***

3. The information disclosure statement (IDS) submitted on 18 December 2001 is in compliance with the provisions of 37 CFR 1.97. Accordingly, the information disclosure statement is being considered by the examiner.

### ***Specification***

4. Applicant is reminded of the proper language and format for an abstract of the disclosure.

The abstract should be in narrative form and generally limited to a single paragraph on a separate sheet within the range of 50 to 150 words. It is important that the abstract not exceed 150 words in length since the space provided for the abstract on the computer tape used by the printer is limited. The form and legal phraseology often used in patent claims, such as "means" and "said," should be avoided. The abstract should describe the disclosure sufficiently to assist readers in deciding whether there is a need for consulting the full patent text for details.

The language should be clear and concise and should not repeat information given in the title. It should avoid using phrases which can be implied, such as, "The disclosure concerns," "The disclosure defined by this invention," "The disclosure describes," etc.

5. The abstract of the disclosure is objected to because the applicant's assertion that, "Additional aspects of the present invention are described in the claims,

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specification and drawings," is not proper. Correction is required. See MPEP § 608.01(b).

6. The disclosure is objected to because of the following informalities: the application lacks the serial numbers of the related application numbers on page 1 of the specification.

Appropriate correction is required.

### ***Claim Rejections - 35 USC § 102***

(b) the invention was patented or described in a printed publication in this or a foreign country or in public use or on sale in this country, more than one year prior to the date of application for patent in the United States.

7. Claims 1-21 are rejected under 35 U.S.C. 102(b) as being anticipated by Ogbuji (Validating XML with Schematron, 2000).

As per independent claim 1, Ogbuji discloses the method for error processing and reporting during validation of a business document in a client-server environment, the method including:

- Accessing a first self-describing, structured document having a document type (page 2, paragraph 2: Here, XML is a structured self-describing document)
- Validating the first document against a schema corresponding to the document type (page 2, paragraph 2)
- Generating a second self-describing, structured document including, for any detected errors:

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- At least one identifier (page 4, code sample 2: Here, a tag represents an identifier; page 4, paragraph 2; page 6, paragraph 3)
  - A path specification identifying a node within the primary document corresponding to the detected error (page 4, code sample 2; page 4, paragraph 2; page 6, paragraph 3)
- Applying a declarative transformation to the first and second documents, producing a user interface character string including a plurality of:
  - Path specifications for nodes in the first document (page 4, code sample 2; page 4, paragraph 2; page 6, paragraph 3)
  - Values for nodes in the first document (page 4, code sample 2; page 4, paragraph 2; page 6, paragraph 3)
- At least one error message corresponding to the at least one error identifier (page 6, paragraph 3)
- Transmitting the user interface character string (page 7, paragraph 4- page 8, paragraph 5)

As per dependent claim 2, Ogbuji discloses the method wherein the schema is compliant with any version of a SOX standard (page 2, paragraph 5).

As per dependent claim 3, Ogbuji discloses the method further including validating the first document against a set of business processing rules and generating a third self-describing, structured document, wherein the declarative transformation is further applied to the third document (page 8, paragraph 1).

As per dependent claim 4, Ogbuji discloses the method wherein the declarative transformation is compliant with an XSLT standard (page 3, paragraph 5).

As per dependent claim 5, Ogbuji discloses the method wherein the declarative transformation is compliant with an XSLT standard (page 3, paragraph 5).

As per dependent claim 6, Ogbuji discloses the method wherein the interface character string is compliant with an HTML standard (page 8, paragraph 4).

As per dependent claim 7, Ogbuji discloses the method wherein the interface character string is compliant with an HTML standard (page 8, paragraph 4).

As per dependent claim 8, Ogbuji discloses the method wherein the interface character string is compliant with an HTML standard (page 8, paragraph 4).

As per dependent claim 9, Ogbuji discloses the method wherein the interface character string is compliant with an XML standard (page 8, paragraph 3).

As per dependent claim 10, Ogbuji discloses the method wherein the interface character string is compliant with an XML standard (page 8, paragraph 3).

As per dependent claim 11, Ogbuji discloses the method wherein the interface character string is compliant with an XML standard (page 8, paragraph 3).

As per independent claim 12, the applicant discloses the limitations similar to those disclosed in claim 1, and are thusly rejected under Ogbuji. Ogbuji further discloses validating the first document against a set of business processing rules applicable to the document type and an intended recipient of the first document (page 3, paragraph 4- page 8, paragraph 6).

As per dependent claim 13, Ogbuji discloses the method wherein the business processing rules are Schematron-complaint (page 3, paragraph 4).

As per dependent claim 14, Ogbuji discloses the method wherein the declarative transformation is compliant with an XSLT standard (page 3, paragraph 5).

As per dependent claim 15, Ogbuji discloses the method wherein the declarative transformation is compliant with an XSLT standard (page 3, paragraph 5).

As per dependent claim 16, Ogbuji discloses the method wherein the interface character string is compliant with an HTML standard (page 8, paragraph 4).

As per dependent claim 17, Ogbuji discloses the method wherein the interface character string is compliant with an HTML standard (page 8, paragraph 4).

As per dependent claim 18, Ogbuji discloses the method wherein the interface character string is compliant with an HTML standard (page 8, paragraph 4).

As per dependent claim 19, Ogbuji discloses the method wherein the interface character string is compliant with an XML standard (page 8, paragraph 3).

As per dependent claim 20, Ogbuji discloses the method wherein the interface character string is compliant with an XML standard (page 8, paragraph 3).

As per dependent claim 21, Ogbuji discloses the method wherein the interface character string is compliant with an XML standard (page 8, paragraph 3).

### ***Conclusion***

8. The prior art made of record and not relied upon is considered pertinent to applicant's disclosure.

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- Green US 20040205459A1: Discloses browser controlled scanning.
- Grefenstette et al. US 20040205448A1: Discloses meta-document management with document identifiers.
- Ayan US 20030088824A1: Discloses multilevel electronic mail communication programs.
- Lucovsky et al. US 20030041076A1: Discloses schema-based services.
- Maslov et al. US 20020156803A1: Discloses structured online documents.
- Ghani US 20020087592A1: Discloses file conversion system.
- Jamali US006243501B1: Discloses recognition of documents using layout attributes.
- Crandall et al. US005963641A: Discloses examining, verifying, correcting, and improving electronic documents.
- Greenfield et al. US005734916A: Discloses identifying and reporting object relationships.
- Moore et al. US20010056429A1: Discloses persistent archives.
- Carlson, Dave, "Modeling XML Vocabularies with UML: Part 1,": Discloses SOX.
- van der Vlist, Eric, "Comparing XML Schema Languages,": Discloses SOX.

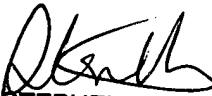
Any inquiry concerning this communication or earlier communications from the examiner should be directed to Kyle R Stork whose telephone number is (571) 272-4130. The examiner can normally be reached on Monday-Friday (7:00-3:30).

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If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Stephen Hong can be reached on (703) 308-5465. The fax phone number for the organization where this application or proceeding is assigned is 703-872-9306.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

Kyle Stork  
Patent Examiner  
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STEPHEN S. HONG  
PRIMARY EXAMINER